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ABSTRACT

This report presents cycle four of the strategic planning process at the State University and Community College System of Tennessee. The cycle extends for five fiscal years from 2000 to 2005, and is meant to: (1) provide a blueprint of the systems vision; (2) provide guidelines to facilitate setting system policy and priorities; (3) provide benchmarks against which strategic goals can be monitored; and (4) increase public awareness of the system's mission. The proposed strategic planning process includes eight steps: (1) defining the system's mission; (2) assessing the internal and external environments, which includes systemwide assessments as well as institutional assessments; (3) developing strategies that will ensure the implementation of the system's mission; (4) setting strategic goals and action plan objectives; (5) integrating the strategic plan; (6) obtaining Board acceptance and fully implementing the plan; (7) periodically assessing system performance and internal and external environments; and (8) submitting an annual report to the Board. Attachment 1 contains reference and resource materials that include instructions on writing the institutional mission statement; defining and establishing strategic goals; developing annual action plans, which are the institution's vehicles for achieving its strategic goals; and evaluating performance. Examples of complete and incomplete mission statements are appended. (EMH)

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Strategic Planning 2000-2005

ED 448 832

The State University and Community College System of Tennessee

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Revised November 1,1999

Strategic Planning

Cycle IV: 2000 - 2005

Calendar

1999

May Draft of Planning Process Sent to Presidents for Campus Review;

Recommendations incorporated into revised draft

August Presidents' Council Endorses Final Draft of Planning Process and Planning Assumptions

September TBR Approves Planning Process and Planning Assumptions

September Campus Strategic Planning Process Begins;

- Data Reports on 1998-99 Academic Year sent to Campuses for use in planning; reporting structure and format distributed

October Mission Statements, Annual Enrollment Projections, and Statements of Institutional Involvement Received for TBR Staff Review

December TBR Approves System Institutional Mission Statements, Enrollment Projections, and Statements of Institutional Involvement

2000

March TBR Staff Receives Draft of Institutional Strategic Goals and works with campuses to resolve any outstanding issues and concerns

May Institutions submit complete Strategic Plans (Report format will be provided to Presidents in advance)
TBR Approves Strategic Plans for Cycle IV

July Implementation of Cycle IV Strategic Plan Begins

TBR Strategic Planning

Overview

History

Preliminary 1983-1985

1st Cycle: 1985-1990

2nd Cycle: 1990-1995

3rd Cycle: 1995-2000

4th Cycle: 2000-2005

Purpose:

- Provides principal means by which TBR carries out statutory responsibility

- Ensures compliance with SACS "Institutional Effectiveness" standards

- Provides basis for studied advancement and improvement

- Provides a basis for public accountability: How well do we do what we say we do?

Principles:

Structured:

- TBR Sets Directions and Approves Key Elements

- System plans with and through its individual campuses

- Principal System Planner = Board and Chancellor

Campus-wide:

- Principal Campus Planner = President

- Tied to Budget

- Everyone is involved

Dynamic & Flexible

- Annual up-dates/adjustments to meet emerging needs, mandates, changes in environment

Planning Elements:

1. TBR Planning Assumptions:

- Defining the System Environment

- Defining System Directions

- Defining Directions for Campuses

2. Review and Revision of Mission Statements

- Campus Mission = Defines what the institution is and what it wants to be in light of Board/Legislative/other mandates and conditions

3. Campus Planning

- Defining Campus Environment: Strengths and Opportunities

- Defining Strategic Goals and Annual Objectives

4. On-going Review

- Feedback of information to all units and components so that adjustments/improvements can be made and, thereby, keep advancement on track

- Goal adjustment as may be needed

5. Annual Report of Progress

- To institution

- To System

Strategic Planning

Cycle IV: 2000-2005

The System's Strategic Planning cycle here addressed extends for five fiscal years beginning July 1, 2000 and extending to June 30, 2005. Preparation and actual planning for the cycle will begin in September 1999 and extend through June 2000 when the System and Institutional plans will be reported to the Board of Regents. Required Board approval of intermediary components and processes will occur at designated times throughout the planning period. A calendar is provided in Attachment 1.

I. Purpose

The Strategic Planning process is essentially the same as the one used in past cycles. As in the past, the primary purposes of this System-coordinated planning are:

A. To provide a visible blueprint of the State University and Community College System's shared vision of itself, a vision which encompasses and rests upon the unique strengths and distinctiveness of each of its member institutions and which fosters unity of purpose and coordination of effort;

B. To provide guidelines that will facilitate the Board's explicit role in defining System policy, setting directions, and establishing priorities while ensuring that those guidelines accommodate the distinctive nature and culture of the individual institutions;

C. To provide credible and visible benchmarks against which progress in attaining System and institutional strategic goals can be monitored, and to provide a basis upon which their effectiveness in carrying out their respective missions can be evaluated; and

D. To provide a vehicle through which to raise the consciousness of the general public, of public policy makers, and of the Board itself and its institutions concerning the System's collective mission and role in providing quality higher education, professional education, and career training for the citizens of Tennessee through its individual member institutions.

II. The Planning Process

A. Pre-Planning: Reaching Consensus on the Process

The principal pre-planning activity will be to discuss, refine, and reach consensus on the planning process for this cycle. For this purpose, a representative Planning Committee will be appointed to ensure maximum campus involvement from the outset.

In response to suggestions from the institutions, Regents, staff, and others, the proposed

planning process represents some change from that used in previous cycles. Those elements that appeared to have worked successfully have been retained, those that have not have been eliminated, and several new elements have been introduced. The intent of these changes is to make the Strategic Planning process, more so than in the past - a genuinely **cooperative process** between the governing board and the System institutions and, hence, to be responsive to the mandates of the SACS ***Criteria*** regarding the respective roles of and relationship between a governing board and an institution.

The proposed process, therefore, acknowledges the prerogatives of the Board in the exercise of its primary responsibility of governing and those of the individual institutions to manage and further the enterprise. Through this cooperative approach to strategic planning, the Board ensures full participation of the governed institutions in the process of formulating the governing principles, System and institutional priorities, and institutional missions and directions. Accordingly, the process proposed here provides a voice for the creativity, ideas, and aspirations of every constituent population in the System and rests on the premise that the best decisions will be reached through broad-based dialogue and consensus reached in mutual respect. In short, the proposed process embodies the principles of shared governance which have long characterized the academic enterprise and to which the System is committed.

B. Proposed Strategic Planning Process

The proposed planning process includes the following six steps:

Step 1: Defining Mission

A. Defining The Institution's Mission and Values

Defining the institution's statement of mission is a broad-based effort involving Regents, the Chancellor, presidents, faculty, staff, students, and other constituencies, both public and private. The statement, once completed, serves as the institution's charter, giving direction and purpose to its policies, actions, and efforts. It defines a common vision and serves as a unifying expression of common purpose for the efforts of the institution and each member of the institution. At the operational level, the mission statement provides a broad context within which presidents exercise effective decision-making in the management and leadership of their respective institutions. Finally, the statement of mission serves as the principal vehicle for informing the public of how the institution proposes to discharge its responsibilities and why it warrants continued public trust and support.

The process of defining institutional mission and values is one that recognizes the role of the governing board, incorporates organizational and legislative mandates, and provides an effective voice for the ideas and aspirations of every member of the institutional community, internal and external. Through this process, the institution seeks to identify and define any and all rightful claims that individuals or groups place or can place upon the resources of the institution or its services.

B. General Content and Format of Mission Statement

The general content and format of the institutional mission statements remain the same as in previous planning cycles. Institutions may, therefore, wish to refer to the instructions and examples provided in Attachment 1.

C. Process for Developing Institutional Mission Statements

1. a. Sub-Committee on Mission of the Strategic Planning Committee **Appointed by President**

b. Committee Organizes to ensure broad participation in the review & revision of the Institutional Mission

2. **Preliminary Draft** of Institutional Mission to TBR Staff for Review and Suggestions

3. **Revised Draft(s)** of Institutional Missions to TBR staff until Consensus is Reached

4. **Final Statement** of Institutional Mission Statements submitted to TBR for approval

Step 2: Assessing the Internal and External Environments

Strategic planning aims at achieving the best 'fit' between an organization and the environment within which it seeks to carry out its defined mission. This requires careful assessment of that environment, both inside and out. "Attention to mandates and the external environment...can be thought of as planning from the outside in. Attention to mission and values and the internal environment can be considered planning from inside out." Successful organizations do both. Through this assessment, the institutions identify their strengths and weaknesses and, hence, the opportunities and constraints that they will face in carrying out their missions.

A. System-wide Assessment

The results of the System's assessment of its internal and statewide external environments and those of its member institutions are reflected in the ***TBR "Planning Assumptions"*** for the cycle.

B. Institutional Assessment

The results of each institution's environmental assessment should be compiled in a format that provides easy reference in order to facilitate periodic reviews of mission, state-wide environmental factors, strategic goals, and other planning components.

Step 3: Developing Strategic Issues

The identified strengths and weaknesses of the institution along with the opportunities and constraints facing them pose a series of strategic issues - issues that will affect the implementation of the mission and the quality of that implementation. In this second step in

the planning process, then, the institution must identify those issues and their implications for every sector of its operations.

Having done so, the organization begins the more complex task of developing strategies to address those issues. This process involves identifying all viable options and then selecting those that will, based on its mission and identified strengths, be most effective. These strategies bring to bear upon the strategic issue to be addressed a pattern of purposes, policies, programs, actions, and resource allocations - human, fiscal, physical, and otherwise - that ultimately define what the organization is, what it does, and why it does it. Such strategies are always complex and involve difficult choices and, if they are to be effective, must have broad consensus and support.

Step 4: Setting Strategic Goals and Action Plan Objectives

The strategies selected and developed become statements of institutional goals. They flow from and are extensions of the mission. They tell us where we want to go in the next five years and how we plan to get there.

Each strategic goal is supported by annual Action Plans that provide operational Objectives that serve as both stepping stones and benchmarks to the Strategic Goals.

Strategic goals and Action Plan Objectives generally include outcomes that are measurable. In that way, the organization can evaluate periodically the soundness of the Strategic Goals and Action Plan Objectives, identify elements requiring adjustment or correction, and report its progress toward achievement to its various constituents and the public. Institutions may wish to refer to the information on writing strategic goals in Attachment 1.

Step 5: Integrating the Strategic Plan

Once the institution has developed its mission and its strategic goals it must integrate these into its daily operation. Although specific Action Plan Objectives may be assigned principally to a particular unit, every unit of the institution must be an active participant in the achievement of the institutional strategic goals. Each unit, therefore, supports the common effort that will move the institution toward achievement of its strategic goals.

This integration can best be achieved through a cooperative process that joins each member of the unit faculty, staff, and administrators with institutional administrators to determine what the unit members will do, how they will do it, and how they will measure success.

Step 6: Implementation

By its acceptance and publication of the plan, the Board makes a public commitment for itself, for the System, and for each of its member institutions to be guided by it and to pursue, by every means available, its full implementation.

Step 7: Assessment of Progress

To ensure progress toward goal achievement, institutions will periodically assess their performance and their internal and external environments. The results of these assessments may dictate or suggest corrective measures. For that reason, the information collected through the assessments must be shared in a timely and useable fashion with all individuals and units involved so that appropriate modifications of their respective action plans can be carefully planned, integrated into the Strategic Plan, and implemented.

Step 8: Annual Report to the Board

At the end of each fiscal year, the institution will develop a summary report of its progress and submit it to the Board staff in August. These individual reports will, in turn, be reviewed by Board staff for any indicated modifications to the System plan. The reports will then be collated by the Board staff into a System report that will be transmitted to the Board at its annual September meeting.

Attachment 1
Reference/Resource Materials

WRITING THE STATEMENT OF INSTITUTIONAL MISSION

Definition

The institutional mission is a broad statement of fundamental purpose that embraces the social and intellectual aspirations of the institution. It is through the Mission Statement that the institution makes known its aspirations to develop the human, physical, and other resources to serve education and society.

Participation

Only an institution can decide the nature and scope of its mission. Doing so is an undertaking that must involve the entire community. If there is to be no disparity between what the institution says it does and what, in fact, it does - or wants to or can do - broad participation by the institutional community is essential. Moreover, if such participation occurs, the writing of the Mission Statement will serve as a catalyst for linking and cross-linking the various elements that constitute the institution's human resources. If the Mission Statement is to fully reflect the vision that the institution has for itself, it is essential that faculty, students, alumni, academic officers, administrators, and community representatives must join with the president in this most basic exercise.

Preview and Analysis of Documents and Information[1]

Developing an institutional Mission Statement is, in part, an introspective exercise. The institution must know what it is and where it has been before it can decide on what it wants to be or where it wants to go. The process of writing the Mission Statement must begin,

therefore, with the assembly and review of all pertinent documents, information, and data. Thus, legislative acts pertaining to its establishment, previous mission statements approved by the Board, institutional history, and various sets of historical data, especially the longitudinal data assembled in Strategic Planning Tables compiled during the past five years, will provide the raw materials from which the Mission Statement will be crafted.

Major Components of the Mission Statement

Some or all of the following may be properly included in a mission statement:

- the legacy of the institution;

- the nature, level or scope of the institution;

- the major segments of society served;

- academic, research and public service emphases;

- the character, composition and quality of the student body;

- the character, composition and quality of the faculty;

- new directions to be pursued;

- institutional uniqueness; and

- the institution's relationship to the geographic, social, economic or political environment.

Once the Mission Statement is written and approved it becomes the institution's principal reference for all its activities and undertakings, present and future. It must, therefore, be a clear, concise document that accurately and unambiguously depicts what the institution is and what it wishes to be and, consequently, what every individual - faculty, student, and citizen of the larger community - has a right to expect.

Critiqued examples of both good and poor statements of mission are attached. In brief, a complete and well-composed statement of mission will do all of the following:

- Identify clearly and concisely the institution's overall purposes: whom it will serve, how it will serve them, and the results of this service.

- Indicate clearly and concisely the general direction the institution endeavors to move.

- Furnish a clear and concise frame of reference for the relevance of the institution's goals.

- Set forth clearly and concisely the major emphasis, scope, and character of the institution's academic programs.

- Differentiate the institution from all other institutions to the extent possible.

ESTABLISHMENT OF STRATEGIC GOAI S FOR 2000-2005

Once the institution has devised its Mission Statement and had it approved, it must set about accomplishing it; and this begins with the establishment of the Strategic Goals for a specific planning period. This undertaking constitutes one of the most critical and most difficult tasks in the Strategic Planning process. It requires the President to make difficult choices and, by so doing, to announce clearly the major and highest priorities of the institution for the planning period.

Definition

Strategic Goals are logical extensions of the institution's mission. They represent major decisions about changes that will alter the relationship of the institution to its environment. They deal, therefore, with the major roles and functions of the institution (instruction, research, public service, continuing education, students, faculty, facilities, learning resources, etc.). Strategic Goals may address the expansion or strengthening of existing functions or the inauguration of new ones and, as such, will guide the allocation of institutional resources during the planning period.

Process

The selection of Strategic Goals represents a process as well as the goals themselves. Institutions must select, from all possible options, Strategic Goals that will ensure the achievement of the institution's Mission.The process on the other hand, is the series of informed and complex deliberations that lead to the final selection.

Identifying Options

The first step in establishing Strategic Goals is the identification of viable options. That must begin with a systematic analysis of the external opportunities and threats and of the internal strengths and weaknesses. This analysis provides a basis for identifying the alternatives that the institution has for enhancing or expanding its assets and correcting its weaknesses.

Participation

As with the writing of the Mission Statement, the process of establishing Strategic Goals is an institution-wide effort. It is important that the Strategic Planning Committee recognize that its role in this process is to carry out both a fact-finding and a deliberative function. While the institutional "Fact Book" or "Fact Sheet" will provide the basic data needed, it will not provide the "live" information that gives meaning to those data. This can only be achieved by ensuring that all segments of the institutional community participate in and contribute to the establishment of goals. Hearings, unit meetings, and other similar strategies may be used to achieve this end. If these strategies are well organized and the participants are well informed, they will yield important insights and information about the institution and about the visions, directions, and opinions of the very people who will, ultimately,

determine whether the institution does or does not meet its goals.

The Strategic Planning Committee will carry out its deliberative role by weighing the information and suggestions thus received in terms of broad institutional perspective. Minimally, that process must include deliberations about:

- What options the institution has in light of available internal resources and external opportunities.

- What options the institution does not have in light of constraints or threats in the environment.

- What options are most reasonable in light of internal resources and institutional strengths.

- What options will be most effective in achieving the institution's preferred vision of its own future.

Formulating the Strategic Goals

In contrast to the philosophical Mission Statement, goal statements are management-oriented and indicate a need for concrete actions. Whereas the Mission Statement describes the broad, long-term purpose of the institution, Strategic Goals are formulated in terms of specific outcomes that the institution wants to achieve by the end of the planning period. A Strategic Goal, therefore, must:

- Be a logical extension of the Mission Statement.

- Be measurable, stating the pre-cycle baseline and the desired end-of-cycleoutcome for determining progress and accomplishment.

- Be explicit and unambiguous as to outcome expected.

- Be supported by specific Objectives and annual benchmarks presented in annual Action Plans.

DEVELOPING ANNUAL ACTION PLANS

Action Plans are the institution's vehicles for achieving its Strategic Goals. The selection of Strategic Goals is a process of choosing the right things for the institution to do in the furtherance of its mission; Action Plans ensure that those things are done, done well and on time. It answers the question "How do we get from here to there?" Action Plans, therefore, lay out explicit paths that lead to the achievement of a Strategic Goal and identify milestones or "Benchmarks" along the way for measuring timely progress.

Action Plan Objectives

An effective Action Plan, therefore, will consist of a series of well-defined Objectives, each of which supports and furthers the achievement of one or more of the institution's Strategic Goals. An Action Plan spans one year of the planning period; individual Objectives, however, may be either of shorter term or continue from year to year.

Each Objective in the Action Plan is strategically selected and timed and is characterized by specificity and measurability. If the Objective is clear and well stated, it will have the inherent quality of exercising a directive influence. Thus, an Objective is always expressed in terms of an expected outcome, end result, or observable performance. The Objective will always include the base or reference against which change can be quantitatively or qualitatively measured so that the institution will know what is being changed, how, and by how much. In short, a well-formulated Objective statement will:

- Be outcome oriented;

- Be measurable, stating the quantitative or qualitative degree,amount, or level of achievement being sought;

- Be focused on singular rather than multiple outcomes;

- Be of sufficient scope to embrace a series of discrete tasks and major events;

- Be consistent with one or more Strategic Goals;

- Be achievable within a designated time period;

- Identify the individual(s) who have primary responsibility for carrying out the Objective; and

- Identify the special resources needed to ensure achievement of the desired Objective.

Supporting the Action Plan

Action Plans will only be effective if they are fully integrated into the institutional operation, especially those procedures involving the allocation of resources, e.g., curriculum approval, budgeting, personnel decisions, facility development and space allocation, etc.

Strategic Planning is an empty exercise unless Strategic Goals and annual Action Plans guide decisions about the allocation and reallocation of resources, human and otherwise, and that this be reflected in the institution's annual budget. If an Objective is likely to move the institution toward achieving a Strategic Goal - and, therefore, the Mission - it must have a priority claim on support in terms of funds and staff. Similarly, requests for funds for any undertaking should be justifiable on the basis of the institution's Strategic Goals.

EVALUATION OF PERFORMANCE

Evaluation of Progress and Achievement

Without a sound, pre-established evaluation strategy, it will be difficult to identify what is going right or what is going wrong in the implementation of Action Plans. As implied, evaluation is more than just "after-the-fact" assessment. Rather, an effective evaluation strategy requires on-going review with open communication and constructive analysis so that feedback may be utilized correctively to ensure achievement of the desired objective. It is this type of dynamic evaluation plan that is required by the SACS standards for the evaluation of institutional effectiveness (See Standard III).

Action Plan Outcomes

The standard of acceptable performance for each Objective in the Action Plan is the established Benchmark and, ultimately, the measure enunciated in the Strategic Goal itself. If the Strategic Goals and the Benchmarks defined in the Action Plan are logical, realistic, and meaningful measures of institutional expectation, the corresponding Objectives will, normally, be fully achievable. Benchmarks are not wishes but expectations. Whether the expectation has been met or not can only be determined if the outcome is measured against a meaningful baseline. That baseline should never be one dimensional or be based on a single occurrence (e.g., last year's enrollment or graduation rate). Rather, a meaningful baseline reflects an average, historical trend, or other interpreted measure (e.g., an enrollment baseline might be determined to be the average enrollment over the prior three years). At the same time, the institution must be able to explain the chosen baseline both internally - especially to those who are expected to achieve the desired change - and externally.

Who Will Evaluate Progress and Achievement

It is a given in all evaluation theory that the best evaluation begins at a point closest to where the action itself has taken place (e.g., at the departmental level by peers and the department chair). It is imperative, however, that the evaluation of these important institutional objectives proceed up to the Strategic Planning Committee and the President and, in reverse, that outcomes information and feedback flow back through the various levels to individual(s) primarily responsible for carrying out the tasks.

In this sense, then, the Strategic Planning Committee assumes a facilitating and reactive role for faculty and staff as they assume responsibility for the various Objectives outlined in the Action Plans. The Committee facilitates and enhances the implementation by making sure that all campus personnel are well-informed about the Mission, the Strategic Goals, and the Action Plans. If the Strategic Planning process has worked thus far, a cooperative and team spirit has been developed throughout the institutional community. The broad-based participation in the writing of the Mission Statement and in the development of the Strategic Goals and Action Plans will have generated a sense of purpose and excitement that links and focuses the energies of every member of the community on achievement. The president and the Strategic Planning Committee keep that spirit and those energies focused by

providing regular review and evaluation of the institution's progress and positive, usable and constructive feedback.

Examples of Mission Statements

Complete Mission Statements

The following mission statements contain combinations of descriptive information and statements of purpose . These mission statements tell whom the college serves, how they are served, and to what ends or purposes they are served. A mission statement designed for USDOE should be precise and succinct.

Example 1:

Regional College Mission

Regional College is a four-year, coeducational college of liberal arts and sciences, related to the United Church which serves a student population reflecting the demographic, socioeconomic, and educational diversity found in the Transmontane Region. The College maintains a tradition of providing a high quality baccalaureate program particularly designed to prepare students for professional careers.

This program is student-centered, maximizing the potential advantages of our small size, encouraging and assisting students in the process of "life planning." In its efforts to educate young men and women for responsible and creative participation in a modern society, Regional College endeavors to combine critical pursuit of knowledge with the cultivation of religious conviction and to unite maximum academic achievement with dedication to service.

Example 2:

Southwestern State School of Science

The mission of Southwestern State School of Science, a public, comprehensive community college, is to offer pertinent and diverse educational programs for young people and adults with varying interests and abilities in the Southwestern area of the state by:

Providing college-parallel programs consisting of the first two years of regular college studies;

Providing technician programs of up to three years in duration to prepare students for jobs in industry, business, and service occupations;

Providing vocational programs of less than technician level that prepare students for jobs requiring different levels of ability and skill;

Providing continuing education programs for employed, underemployed, and other adults

who need training or retraining, or who can otherwise profit from the program;

Providing short courses, seminars, and workshops that will meet the adult, industrial, and service needs; and

Providing bilingual courses and curricula to meet the needs of our Hispanic community.

Example 3:

Western State University Mission

Western State is a coeducational, urban university, established by statute as a state university for the purpose of meeting the educational needs of the people of the western part of the state. The University's mission focuses on undergraduate, graduate and professional degrees and regional continuing education programs. Western State University assumes the traditional role of a public university - the discovery of knowledge through scholarship and research; the preservation of knowledge through a vigorous library *and* archival program; the transmission of knowledge through creative teaching and professional activity; and the application of knowledge to regional and urban problems.

Western State University provides an environment for cultural enrichment integrated with career preparation.

INCOMPLETE MISSION STATEMENTS

The following Mission Statements are too broad and could identify any institution.

Example 1:

Nirvana Community College Mission

Nirvana Community College is committed to providing the citizenry with educational opportunities demanded by the continued progress of civilization and the development of a free democratic society. The College fosters the propagation of knowledge and skills and *acts* as a catalyst for individual growth. Being committed to learning, Nirvana Community College is vitally concerned with the components of the educational system: students, faculty, administration, teaching methods, subject matter, and setting. Men and women of all ages, regardless of social, ethnic, racial or religious background, will be educated and assisted to achieve self-realization in a humane educational environment.

Example 2:

South University Mission

The primary mission of South University is "To offer higher education for everyone," and to prepare students for graduate and professional schools and rewarding employment.